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BRIAN M. DUGAN, Ph.D.

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PATENTS, TRADEMARKS & COPYRIGHTS  
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Date: November 8, 2006

**PLEASE DELIVER THE ATTACHED MESSAGE TO:**

Examiner: Charles R. Kasenge      Phone No.: (571) 272-3743  
Fax No.: (571) 273-8300

From: Brian M. Dugan, Registration No. 41,720

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Our File No.: Docket No. 8201/Y02/SYNX/SYNX/JW

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Michael R. Rice et al.  
Serial No. : 10/764,620  
Filed : January 26, 2004  
For : SYSTEMS AND METHODS FOR TRANSFERRING  
SMALL LOT SIZE SUBSTRATE CARRIERS  
BETWEEN PROCESSING TOOLS  
Examiner : Charles R. Kasenge  
Group Art Unit : 2125

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TOTAL NUMBER OF PAGES INCLUDING THIS PAGE: 5

\* \* \*

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\* \* \*

NOV 08 2006

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Re: Inventor(s): Michael R. Rice, Eric A. Enghardt, Vinay Shah, Martin R. Elliott, Robert B. Lowrance and  
Jeffrey C. Hudgens  
Title: SYSTEMS AND METHODS FOR TRANSFERRING SMALL LOT SIZE SUBSTRATE CARRIERS  
BETWEEN PROCESSING TOOLS  
Serial No.: 10/764,620  
Filed: January 26, 2004  
Examiner: Charles R. Kasenge  
Group Art Unit: 2125

Transmitted herewith is:

- ☒ PTO Form 1449; and  
☒ Information Disclosure Statement with two cited references.

| FEE CALCULATION  |              |                         |              |            |        |
|--|--------------|-------------------------|--------------|------------|--------|
| Fee Items  | Claims Filed | Included With Basic Fee | Extra Claims | Fee Rate   | Total  |
| Total Claims   | N/A          | - 20 =                  | -0-          | X \$50.00  | \$0.00 |
| Independent Claims   | N/A          | - 3 =                   | -0-          | X \$200.00 | \$0.00 |
| Basic Filing Fee (\$300.00), Utility Search Fee (\$500.00), Utility Examination Fee (\$200.00) |              |                         |              | \$1000.00  | \$0.00 |
| TOTAL FEES   |              |                         |              |            | PAID   |

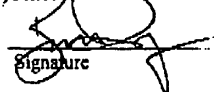
The Commissioner is hereby authorized to charge \$0.00 to Deposit Account No. 04-1696.

☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 04-1696. A duplicate copy of this transmittal is enclosed.

☒ Please address all future correspondence to: Customer # 41161  
Dugan & Dugan, PC  
55 South Broadway  
Tarrytown, NY 10591

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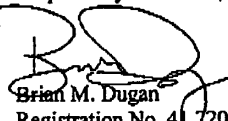
☒ transmitted by facsimile to the U.S. Patent and Trademark Office

  
Signature

November 8, 2006  
Date

Brian M. Dugan  
(name of person certifying)

Respectfully submitted,

  
Brian M. Dugan  
Registration No. 41,720  
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PATENTS  
8201/Y02/SYNX/SYNX/JW

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Michael R. Rice et al.  
Serial No. : 10/764,620  
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Group Art Unit : 2125  
Customer No. : 41161  
Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

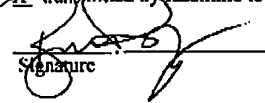
INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 C.F.R. §§ 1.56 and 1.97,  
applicants wish to call the attention of the Examiner to the  
following references:

U.S. Patent No. 6,579,052 B1, Bonora et al.

Certificate of Mailing/Transmission (37 C.F.R. Section 1.8(u))  
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Brian M. Dugan  
(name of person certifying)

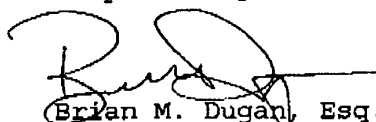
November 8, 2006  
\_\_\_\_\_  
Date

U.S. Patent No. 5,980,183, Fosnight

These references are also listed on the  
accompanying Information Disclosure Statement (Form PTO-1449).

Consideration of the foregoing in relation to this  
patent application is respectfully requested.

Respectfully Submitted,



Brian M. Dugan, Esq.  
Registration No. 41,720  
Dugan & Dugan, PC  
Attorneys for Applicants  
(914) 332-9081

Dated: November 8, 2006  
Tarrytown, New York

Sheet 1 of 1 sheets

|   |       |                 |                 |                                       |       |                           |                            |    |
|---|-------|-----------------|-----------------|---------------------------------------|-------|---------------------------|----------------------------|----|
| U.S. Department of Commerce, Patent and Trademark Office  |       |                 |                 | Docket No.:<br>8201/Y02/SYNX/SYNX/JW  |       | Serial No.:<br>10/764,620 |                            |    |
| LIST OF RELEVANT ART CITED BY APPLICANT<br>(Use several sheets if necessary)  |       |                 |                 | Applicants:<br>Michael R. Rice et al. |       |                           |                            |    |
|   |       |                 |                 | Filing Date:<br>January 26, 2004      |       | Group:<br>2125            |                            |    |
| U.S. Patent Documents   |       |                 |                 |                                       |       |                           |                            |    |
| *Examiner Initial   |       | Document Number | Issue Date      | Name                                  | Class | Subclass                  | Filing Date If Appropriate |    |
|   | US-1  | 6,579,052 B1    | 06/17/03        | Bonora et al.                         |       |                           |                            |    |
|   | US-2  | 5,980,183       | 11/09/99        | Fosnight                              |       |                           |                            |    |
|   | US-3  |                 |                 |                                       |       |                           |                            |    |
|   | US-4  |                 |                 |                                       |       |                           |                            |    |
|   | US-5  |                 |                 |                                       |       |                           |                            |    |
|   | US-6  |                 |                 |                                       |       |                           |                            |    |
|   | US-7  |                 |                 |                                       |       |                           |                            |    |
|   | US-8  |                 |                 |                                       |       |                           |                            |    |
|   | US-9  |                 |                 |                                       |       |                           |                            |    |
|   | US-10 |                 |                 |                                       |       |                           |                            |    |
|   | US-11 |                 |                 |                                       |       |                           |                            |    |
| Foreign Patent Documents  |       |                 |                 |                                       |       |                           | Translation                |    |
|   |       | Document Number | Date            | Country                               | Class | Subclass                  | Yes                        | No |
|   | F-1   |                 |                 |                                       |       |                           |                            |    |
|   | F-2   |                 |                 |                                       |       |                           |                            |    |
|   | F-3   |                 |                 |                                       |       |                           |                            |    |
|   | F-4   |                 |                 |                                       |       |                           |                            |    |
|   | F-5   |                 |                 |                                       |       |                           |                            |    |
| OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)  |       |                 |                 |                                       |       |                           |                            |    |
|   | OT-1  |                 |                 |                                       |       |                           |                            |    |
|   | OT-2  |                 |                 |                                       |       |                           |                            |    |
|   | OT-3  |                 |                 |                                       |       |                           |                            |    |
| Examiner  |       |                 | Date Considered |                                       |       |                           |                            |    |
| *EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant. |       |                 |                 |                                       |       |                           |                            |    |

C:\WP51\FORMS\1449.PTO 1/94